DOCUMENT RESUME

ED 276 104 EA 018 721

AUTHOR Murphy, Sheila C.; And Others
TITLE Selecting and Training Educational Leaders To Be Facilitators of School Improvement. R&D Report 3221.
INSTITUTION Texas Univ., Austin. Research and Development Center for Teacher Education.
SPONS AGENCY National Inst. of Education (ED), Washington, DC.
REPORT NO R&DCTE-R-3221
PUB DATE Apr 86
NOTE 39p.; In: School Improvement: Messages from Five Years of Research. Symposium presented at the Annual Meeting of the American Educational Research Association (67th, San Francisco, California, April 16-20, 1986); see EA 018 717.
PUB TYPE Information Analyses (070) -- Speeches/Conference Papers (150)

EDRS PRICE MF01/PC02 Plus Postage.
DESCRIPTORS Administrator Characteristics; Administrator Education; *Administrator Role; Administrator Selection; *Change Agents; *Educational Improvement; Elementary Secondary Education; *Management Development; *Principals; Program Implementation
IDENTIFIERS *Concerns Based Adoption Model; *Principal Teacher Interaction Study

ABSTRACT

For the past five years, researchers at the Research and Development Center for Teacher Education have studied the role of school principals and other educational leaders in facilitating school improvement. Through this research, much has been learned about the school improvement process and what facilitators do on a daily basis to bring about change. This paper provides research-based suggestions for (1) selecting and placing effective facilitators and (2) training persons to become effective facilitators of change. The research discussed in this paper is grounded in the Concerns Based Adoption Model (CBAM) and the Principal-Teacher Interaction Study, which focused on the role of principals as the major facilitators of change in their schools. Selection of educational leaders can be partially based on styles ("responder," "manager," or "initiator"). It can also be based on the needs of the specific situation and the interactions among change facilitation teams. The process of training should include an entire change facilitation team and extend over a sustained time period, providing opportunities for applications and feedback. Three figures and seven pages of references are included. An appendix details the diagnostic components of the CBAM. (IW)

****
* Reproductions supplied by EDRS are the best that can be made *
* from the original document. *
****

ED276104

U.S. DEPARTMENT OF EDUCATION
NATIONAL INSTITUTE OF EDUCATION
EDUCATIONAL RESOURCES INFORMATION
CENTER (ERIC)
X This document has been reproduced as received from the person or organization originating it.
☐ Minor changes have been made to improve reproduction quality.
• Points of view or opinions stated in this document do not necessarily represent official NIE position or policy.

SELECTING AND TRAINING EDUCATIONAL LEADERS TO BE FACILITATORS OF SCHOOL IMPROVEMENT

Sheila C. Murphy
Leslie L. Huling-Austin
Suzanne M. Stiegelbauer

Research and Development Center for Teacher Education
The University of Texas at Austin

(R&D Report 3221)

Paper presented at the annual meeting of the
American Educational Research Association
San Francisco, 1986 (April)

The research described herin was conducted under contract with the National Institute of Education. The opinions expressed are those of the authors and do not necessarily reflect the position or policy of the National Institute of Education and no endorsement by the National Institute of Education should be inferred.

EA 018 721

BEST COPY AVAILABLE

SELECTING AND TRAINING EDUCATIONAL LEADERS TO BE FACILITATORS OF SCHOOL IMPROVEMENT[1, 2]

Sheila C. Murphy
Leslie Huling-Austin
Suzanne M. Stiegelbauer

Research and Development Center for Teacher Education
The University of Texas at Austin

The importance of school improvement as a goal is widely recognized both by educators and the public at large. State legislators, parents and other taxpayers as well as school boards and superintendents are exerting pressure for schools to improve. Much of this pressure is being focused on educational leaders and their role in bringing about school improvement.

For the past five years, researchers at the Research and Development Center for Teacher Education (R&DCTE) have studied the role of school principals and other educational leaders in facilitating school improvement. Through this research, much has been learned about the school improvement process and what facilitators do on a day-to-day basis to bring about change (Hall, Hord, Guzman, Huling-Austin, Rutherford, & Stiegelbauer, 1984; Hall, Hord, Huling, Rutherford, & Stiegelbauer, 1983; Hall, Rutherford,

---

[1]The research described herein was conducted under contract with the National Institute of Education. The opinions expressed are those of the authors and do not necessarily reflect the position or policy of the National Institute of Education and no endorsement by the National Institute of Education should be inferred.

[2]The authors wish to acknowledge the contributions and participation of their colleagues in the preparation of this manuscript: Shirley Hord, Gene Hall, Bill Rutherford, Beulah Newlove, Jan Elen, Jan van Acoleyen, and Deborah Muscella.

Newlove, Hord, Goldstein, Huling, & Griffin, 1982; Rutherford, Hord, Huling-Austin, Stiegelbauer, Murphy, Putman, Hall, & Muscella, 1985). The cumulative findings from this body of research now make it possible to present ideas for the selection and training of school leaders. The paper is primarily intended for those who view school improvement as a top priority, and provides research-based suggestions about 1) selecting those persons who will likely be effective as facilitators and 2) training persons to become effective facilitators of change.

It is important to emphasize that the criteria to be discussed in this paper relate to the role of educational leaders in school improvement. A district or agency that has other top priorities for its administrators such as strong public and community relations or managing declining enrollments and resources would probably find other selection and training criteria more relevant to their needs.

The purpose of this paper then is to share findings from the past five years of R&DCTE research related to the role of educational leaders in school improvement. In doing so, we will discuss the implications related to the selection and placement of educational leaders, and the content and process of training leaders for school improvement.

Assumptions Underlying CBAM Research

The research to be discussed in this paper is grounded in the Concerns Based Adoption Model (CBAM) (Hall, Wallace, & Dossett, 1973). The CBAM evolved out of extensive research on the change process and particularly implementation of educational innovations in schools and college settings. Underlying the CBAM model are a number of basic assumptions (Rutherford, Hall, & Huling, 1984):

1) Change is a process, not an event.

2) Change is made by individuals first, i.e., the individual is the primary focus of actions taken for change.

3) Change is a highly personal experience; everyone reacts differently.

4) Change entails developmental growth in feelings and skills; there are identifiable "stages" and "levels" of the change process as experienced by individuals.

5) Change is best understood by individuals when it is presented or described in operational terms, as it would appear when fully in use.

6) Change can be best facilitated when actions are based on the diagnosed needs of individuals; a client-centered diagnostic/prescriptive model has benefits for both client and facilitator.

7) A change facilitator needs to work in an "adaptive/systematic way," adapting their interventions to the needs of the change and clients within the change. Further, any interventions or actions taken to facilitate change must be directed to individuals first, and innovations second.

Out of this perspective and as a result of ten years of research in schools, the CBAM/RIP program has developed and refined a set of conceptual frameworks for planning, facilitating, monitoring, and evaluating change in schools. The dimensions of the CBAM include:

1) Stages of Concern (SoC), which is used to assess user concerns or feelings about a change (Hall, George, & Rutherford, 1977; Newlove & Hall, 1976);

2) Levels of Use (LoU), which is used to determine the actual extent of

use based on behavioral indicators (Loucks, Newlove, & Hall, 1976). Both these measures stem from theories of adult development (Fuller, 1969; 1973) and extensive testing in the field;

3) Innovation Configurations (IC), which is used to describe the innovation or change (Heck, Stiegelbauer, Hall, & Loucks, 1981); and

4) the Intervention Taxonomy (IT), which describes and categorizes actions taken by facilitators in implementing or monitoring change (Hall & Hord, 1984a).

All of these dimensions are field based and continue to be tested through ongoing research by CBAM/RIP staff, various implementation efforts in schools, and dissertation studies. A more complete discussion of the CBAM is found in Appendix A. The next section of this paper reviews the research base from which the recommendations are drawn.

Five Years of Research: The PTI and High School Studies

The Principal-Teacher Interaction (PTI) Study conducted over the 1980-81 school year, focused on the role of principals as the major facilitator of change in their schools. While the literature on leadership presented some indicators of what contributed to effective leadership, little research had been done on principals as facilitators of change. Questions in need of clarification included: What are the day-to-day interactions and actions taken by principals as facilitators of change? How do they organize an implementation effort? How do they support the use of new practices and encourage teachers? Do all principals do the same thing? If not, what effect do these differences have? Are there other facilitators involved?

With such questions in mind, the PTI Study focused on nine elementary school principals involved in implementing a curriculum innovation in their

school. Through a combination of data collection methods, including interviews, daily logs, and bi-weekly phone contacts, the daily intervention behaviors of these principals were surveyed over the course of one school year (Hall, Hord, Huling, Rutherford, & Stiegelbauer, 1983). The principals in the study were selected by their district on the basis of district assessment of the principal's change facilitating "style" or characteristic leadership behaviors. Earlier studies had suggested that the principals' "style" might indicate their approach to implementation and its effectiveness (Hall, Rutherford, & Griffin, 1982). SoC, LoU, IC and Intervention data were collected from teachers at three points during the year to monitor and assess the success of implementation efforts (Huling, Hall, Hord, & Rutherford, 1983). Interviews and observations at regular intervals added vital data about the schools' response to the change (Stiegelbauer, Goldstein, & Huling, 1982).

The findings from the PTI study were diverse: 1) principals did exhibit different "styles" of facilitation and there was a relationship between principal "style" and the effectiveness of implementation efforts (Hall & Rutherford, 1983; Huling, Hall, Hord, & Rutherford, 1983); 2) the actions of the principal and others could be categorized in terms of the Intervention Taxonomy (Hall & Hord, 1984a) which revealed different "game plans" for change; and 3) an analysis of interventions from each school, when considered in the light of implementation success, suggested the kinds of actions that needed to be taken for effective facilitation. These groupings of actions, called Game Plan Components (GPC's), provided more explicit information about the nature of interventions (Hord, Huling, & Stiegelbauer, 1983). Finally, the study showed that in each school, the principal was not the only facilitator. Each school had a second change facilitator (2nd CF) who came to

light in the course of more indepth work in the school. This facilitator's role was different from, but complementary to, the role of the principal (Hord, Stiegelbauer, & Hall, 1984b).

The Principal-Teacher Interaction study provided information about the roles of facilitators, in particular the principal, the nature of their actions contributing to change and the effect of those actions on teachers. Each of the innovations viewed in the study represented a school wide change, requiring the principal to structure efforts to meet the needs of different grade levels and individuals. The unit of change in this study was the whole school. The nature of the interactions for change is drawn from the qualitative and quantitative data on interventions and their effects, as well as the impressions of research staff collected over the school year (Hall et al., 1983).

The High School Study, conducted in three phases during the 1982-1985 school years, took a broader and more descriptive view of the change process. During Phase I, one or more staff members visited 12 high schools in various regions of the U.S. These exploratory visits were made in order to become more familiar with the organizational structure of the high schools and the change efforts taking place, and to examine possible sources of information and explore strategies for future data collection efforts (Huling-Austin, 1984). In each visit, school administrators, department chairpersons, teachers and students were interviewed to gain their insights about how change occurs, what innovations were present, and how to best conduct research on change in high schools. Phase II of the high school study was a descriptive study designed to address four major research questions:

1. What are the types, sources and purposes of change in high schools?
2. What are the key units (school, department, etc.) of change?

3. What are the situational factors that most influence the change process?

4. How is the change process managed in high schools?

To answer these, it was deemed important to look at high schools located in different size and type communities and with varying change dynamics, that is, schools with much change and those that were more typical for each district. Community types were rural, urban, suburban and mid-size cities; the high school size varied with the type of community. Nine sites were chosen in 9 states geographically distributed across the nation. At each site 2 high schools were selected as study schools (N=18), one a typical school and the other with much change ongoing.

Phase III involved 2 high schools and 3 elementary schools in each of 2 school districts (Rutherford et al., 1985). The purposes of this phase were:

1. To determine the role of the district office in school change.
2. To compare the change process in elementary and secondary schools.
3. To investigate the management of change over the long term, and
4. To study how leadership affects the change process.

This phase also incorporated visits to some of the original PTI elementary schools in order to examine the progress of implementation efforts. Special attention was devoted to understanding the role and function of different constituent groups including department chairpersons, district personnel, and teachers in school improvement efforts.

The High School Study viewed change in terms of the whole system. Taken in all, Phases I, II, and III include data from over 30 high schools and six elementary schools. Findings from the study include information about the sources and diversity of changes impacting high schools (Rutherford & Huling-Austin, 1984), the nature of leadership for change in high schools

(Hall & Guzman, 1984; Hord & Murphy, 1985; Huling-Austin, Stiegelbauer, & Muscella, 1985), situational factors influencing change in high schools (Stiegelbauer, 1984; Stiegelbauer, Haddad, & Murphy, 1985), the roles and reactions of teachers (Rutherford & Murphy, 1985), and the role and influence of the district office on change in both the high school and elementary school (Hall, Hord, & Putman, 1985).

When considered together, the PTI and the High School Study data present a clearer picture of important variables associated with change. Among these variables are the nature of change facilitators, change units, changes themselves, and of the actions taken to facilitate change efforts. Additionally, the data identify roles involved in the change process and configurations of leadership which are more effective in school improvement.

Selection of Educational Leaders

The High School and Principal-Teacher Interaction Studies have contributed greatly to our understanding of the role and actions of leadership for change. While these studies have also allowed us to develop some hypotheses about effective leadership in general, the findings relate specifically to the change process and leadership for school improvement. The roles and behaviors of school leaders in the context of change may be very different from the roles and behaviors leaders might assume when maintaining stability or wearing "other hats." The focus on facilitating school improvement is important to this discussion of selection of educational leaders. The findings from the two studies can inform the processes of selection, hiring, and placement of individuals in leadership roles for school improvement. Additionally, these findings have implications for the selection of change facilitators in many roles, not only principals.

The term 'facilitator' is one used in our research to indicate anyone actively involved in supporting the change process, or working with potential users to understand and incorporate the change (Stiegelbauer, Muscella, & Rutherford, 1986). A "change facilitator" then, is one who provides assistance to those who are expected to incorporate new attitudes or skills in response to a particular change (Hall & Hord, 1986). Research conducted in elementary and secondary settings shows that there may be many different change facilitators in the schools operating in various roles, including principals, assistant principals, department heads, and teachers. The roles these individuals play in the change process are often better characterized by the actions and interactions they engaged in than by their formal designation in the school. One possible exception to this is the principal. In almost every school, the principal proves to be a necessary support to the process, even if he or she takes little active role in facilitation (Hall & Hord, 1986; Huling-Austin, Stiegelbauer, & Muscella, 1985; Stiegelbauer, Muscella, & Rutherford, 1986).

The roles of facilitators can be deliminated according to the kinds of actions undertaken. Every change effort we studied in our research had a primary, or first, change facilitator (CF). This person had the major responsibility for managing the change and was often the principal. Most schools also had a second change facilitator (Hord, Stiegelbauer, & Hall, 1984a, 1984b; Stiegelbauer, Muscella, & Rutherford, 1986) who played a complementary role to the first CF and worked in closer contact with teachers or prospective users. Further, there were often other CFs, teachers or district consultants, who worked with the 1st and 2nd CF to promote and clarify the change.

These facilitators in many cases become a change facilitating "team," working together to enhance the change process (Hall & Hord, 1986). For this team to work effectively, the primary CF has to be consistent in the role as leader during the process. Ideally this means delegating and monitoring responsibilities from the perspective of a long-term plan for the change which reflects the needs of the individuals involved, the specific context, and the change itself (Hall & Hord, 1984b; Rutherford, 1981). This plan includes specific interventions directed to the needs of the process (Hord, Huling, & Stiegelbauer, 1983; Hord, Stiegelbauer, & Hall, 1984a).

Selection and Style

Selection issues relating to the change facilitation roles include: the demands of the role, the characteristics that would best meet these demands, and, because of different roles and interactions in a "team" of facilitators, the demands and characteristics of interactive facilitation. The PTI study findings present some guidelines to these issues in the concept of "style" (Hall et al., 1983; Rutherford, Hord, & Huling, 1983).

The term 'style' refers to a characteristic manner in which a leader, or facilitator, will approach the task of facilitating change. The PTI study hypothesized that a principal's change facilitating style would influence not only the nature of actions taken but the success of implementation as a whole. Three change facilitating styles -- responder, initiator, manager -- were traced, each with a characteristic pattern of behavior. Each also had their own attributes in terms of facilitation (Hall, Rutherford, Hord, & Huling, 1984). The initiator style, however, had the greatest success as correlated with implementation on the classroom level (Huling, Hall, Hord, & Rutherford, 1983).

Very briefly, the three styles are as follows (Hall & Hord, 1984b; Rutherford, 1984). Leaders with the Responder change facilitating style place heavy emphasis on allowing teachers and others to take the lead. They see their primary role as administrative, yet emphasize the personal side of their interactions with teachers and the community. They are often good public relations people. They tend to deal with decision making on a moment-to-moment basis and have short term goals that change as situations in the school demand. Responder style leaders let things happen. When working with other individuals who have their own vision for the change, their public relations talents enhance the sense of support necessary for the process. Alternately, their short term goals limit the depth of activity needed over time to institutionalize the change.

The leader with the Manager change facilitating style varies more in his/her behavior and considers the longer range interests of teachers, the school, and the district when making decisions. They are efficient administrators and see that basic jobs are done well, yet will protect their teachers from overload. They respond to changes that are prioritized by the district or by school need and actively work with teachers to implement those changes. Manager style leaders help things happen. They are often well liked by teachers and work smoothly with a team. Often they are limited in their ability to delegate effectively and become overly involved in specific projects.

Leaders with the Initiator change facilitating style seize the lead and makes things happen, occasionally at the expense of others' interests. They have a strong vision of what the school can be and base their actions accordingly. Decisions are made in relation to the school's goals and in terms of what is best for students, teachers, and themselves, in that order.

They will often reinterpret district programs and policies to better suit the needs of their school. They will push teachers strongly to adopt changes they see as necessary. Initiator style leaders make things happen. In a school where they are well received by teachers and in league with district/school interests, they are the most effective facilitators. In a setting that resists their vision, or where there is a conflict of interest, this style could be disruptive.

As this brief description might indicate, each style incorporates a range of behaviors that contributes to an approach to working with school improvements. The PTI and High School Study data suggest, however, that while an individual's behaviors may change from situation to situation 'style' tends to remain fairly constant. The behaviors relating to effective change facilitation, however, can be learned (Rutherford, 1984). Further, leaders may utilize one set of behaviors relating to a 'style' with one innovation and a different set with another, given the priority of the change. This approach seems to be especially true of manager style leaders.

In considering leadership for change, selection could be based on a combination of perceived leadership style and the needs of a specific setting. From the PTI data, it was found that initiators and managers had a higher implementation success than responders. Managers' schools had better climates than did initiators'. Both managers and initiators had better school climates, as perceived by teachers, than responders'. For example, a responder style principal or leader could contribute to a lack of focus within a school improvement effort, leaving individuals to sort things out for themselves. An innovation lacking "push" from a leader often seemed to find its way to the bottom of teachers' priority lists. Alternately, in a setting characterized by a group of self-motivated, independent teachers, an initiator

style might be seen as directive, whereas a manager style could provide the support, direction, and potential teamwork that would contribute to a change, and allow teachers to create their own sense of vision. Thus, selection must consider the needs of the context as well as the strengths of the facilitator(s). However, a manager or responder leader who works well with a specific setting could more successfully plan change projects by incorporating some of the behaviors correlated with the initiator style. Specifically, by clearly articulating a vision and translating it into clear objectives, leaders may enhance the change process.

Selection and Teams

Another consideration in selecting leadership for change involves leadership teams. The High School Study in particular indicated that in many settings a number of facilitators would work together to promote the change. These facilitators would then take on different roles, one being the primary facilitator, another the second CF, and occasionally, other CFs would be involved (Hall & Hord, 1986; Huling-Austin, Stiegelbauer, & Muscella, 1985; Stiegelbauer, Muscella, & Rutherford, 1986). A look at these teams indicated that there may be a complimentary relationship between facilitators of different styles. In building a "CF team" persons with complementary styles, interests, and expertise should be selected rather than those persons who have the same strengths and weaknesses. Hall and Hord (1986) present a detailed discussion of the roles and characteristics of leadership teams.

Selection and Roles

To select the primary change facilitator, consideration needs to be given to some of the attributes of that role, such as providing vision and push, structuring a plan, monitoring, providing consistent leadership, modeling expectations, and communicating about the change and progress with it. Since

the primary change facilitator needs to be in overall command of the process, this person should be in a position of credibility and authority. In most instances, it is the principal, assistant principal, department head, or someone in line authority.

Based on the style or characteristics of the person chosen as the primary facilitator, second CFs can be selected because of their complementary style, their placement in the school, or both. Second CFs tend to work more closely with teachers about the change. They should monitor in a non-threatening way in order to provide feedback and correction to teachers. Second CFs may also model behavior relating to the change. Initially, they do not need to be experts on the change itself, but they need to be willing to become experts in order to be credible to teachers. Further, they should be able to work with the primary CF in planning and monitoring the process. Persons in roles such as resource teachers, assistant principals, grade level leaders, or department heads, who are used to working closely with teachers would likely be the best choice (Hall, & Hord, 1986; Stiegelbauer, Muscella, & Rutherford, 1986).

The Training of Educational Leaders

Recommendations for training are based on "the premise that good skills, developed through good training are necessary for good facilitators" (Rutherford, Hall, & Newlove, 1982, p. 31). As discussed in the previous section, all persons involved in change facilitation should be included in the training process. Research conducted by RIP shows that generally, first CFs do not give consideration to the configurations of leadership they use in change efforts (Huling-Austin, Stiegelbauer, & Muscella, 1985). Yet, synthesis of research findings suggests that "with some common, and some specialized, training and clarifications of their mutually supportive roles...

facilitation effectiveness and implementation success in school improvement efforts could be greatly enhanced" (Hord, Hall, & Stiegelbauer, 1983, p. 32). Perhaps first CFs should begin to attend to the process of forming a team for school improvement.

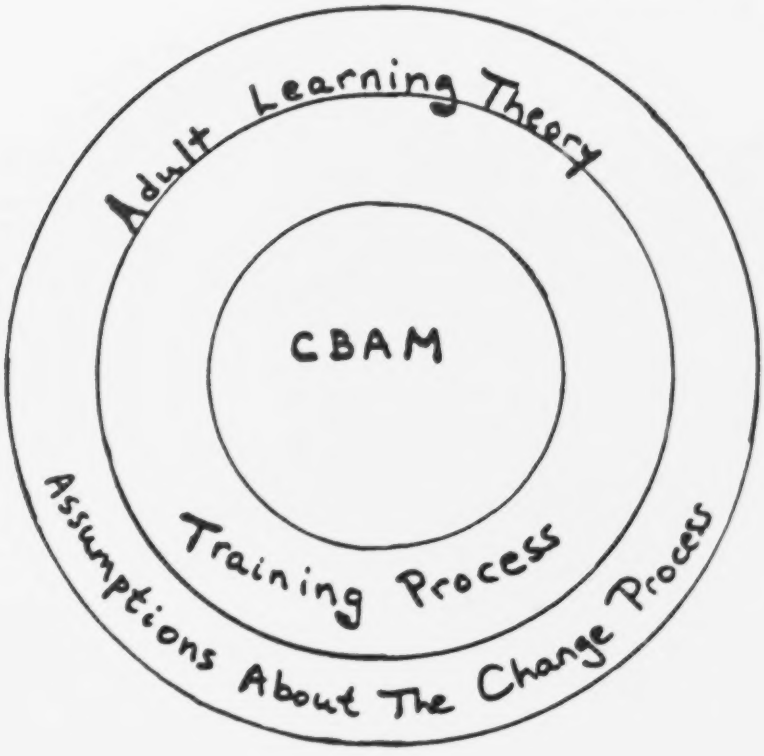
Common sense, as well as research, acknowledges that not all roles on a change facilitation team are of equal importance. Yet, selection and training of persons in each role rather than reliance on their emergence by chance is important in forming a team for effective change facilitation (Huling-Austin, Stiegelbauer, & Muscella, 1985). Some understanding of each of the CF roles would enhance the interaction among the roles. The previous section of this paper discussed the impact of roles on the selection process. See Hall and Hord (1986) for a detailed discussion of the roles which could be included in a change facilitation team.

Another guide for a training program is the realization that factors underlying concerns theory also apply to training change facilitators. Consistently, the research has confirmed that change is a process for facilitators too (Hord & Goldstein, 1982; Hord, Huling, & Stiegelbauer, 1983). In keeping with this premise, those involved in training should realize that it requires a commitment of time and effort over a substantial period. This consideration will be discussed in greater detail later in this paper.

Training is a multiple level task (Figure 1). What do you teach persons to enhance their performance as change facilitators? How do you transmit that information? These questions serve as the core of training educational leaders for change facilitation. The what and how are supported by the theoretical bases of the change process and adult learning theory. Each layer adds to the richness of the previous layer. In this section, the content and process of training will be discussed in depth.

FIGURE 1

MULTIPLE LEVELS OF TRAINING



The Content of Training

The research clearly shows that there is "the need for principals [and other CFs] to use the data sources available to them . . . . In many cases, information is not readily apparent to principals [and other CFs] in their day-to-day activities and can only be gathered through formal data-gathering methods" (Huling, Hall, & Hord, 1982, p. 23). The Concerns Based Adoption Model (CBAM) provides both diagnostic and prescriptive dimensions for use by trained change facilitators. Appendix A furnishes a detailed discussion of the diagnostic and prescriptive components of the CBAM. While particular CF roles might be more involved with certain dimensions of the model, general familiarity with the CBAM is needed by all change facilitators. The CBAM is the content to be used in training educational leaders in roles as effective change facilitators.

Further, research conducted at both the elementary and high school levels shows personal attention, by a change facilitator, is necessary in school improvement efforts (Hall, Rutherford, & Griffin, 1982; Rutherford & Murphy, 1985). The research also indicates that change facilitators can take action which can influence teachers' use of instructional innovations. Therefore, "appropriate training of principals [and other CFs] -- in effective intervening -- is a much needed link to the improvement of practice by teachers" (Hord & Goldstein, 1982, pp. 21-22).

The diagnostic dimensions of CBAM, Stages of Concern, Levels of Use, and Innovation Configurations, allow a change facilitator to probe the user system for information. Stages of Concern (SoC) focuses on perceptions of feelings individuals have about an innovation. Levels of Use (LoU) focuses on whether or not an individual is using an innovation. The third diagnostic dimension, Innovation Configurations (IC), focuses on the innovation rather than the

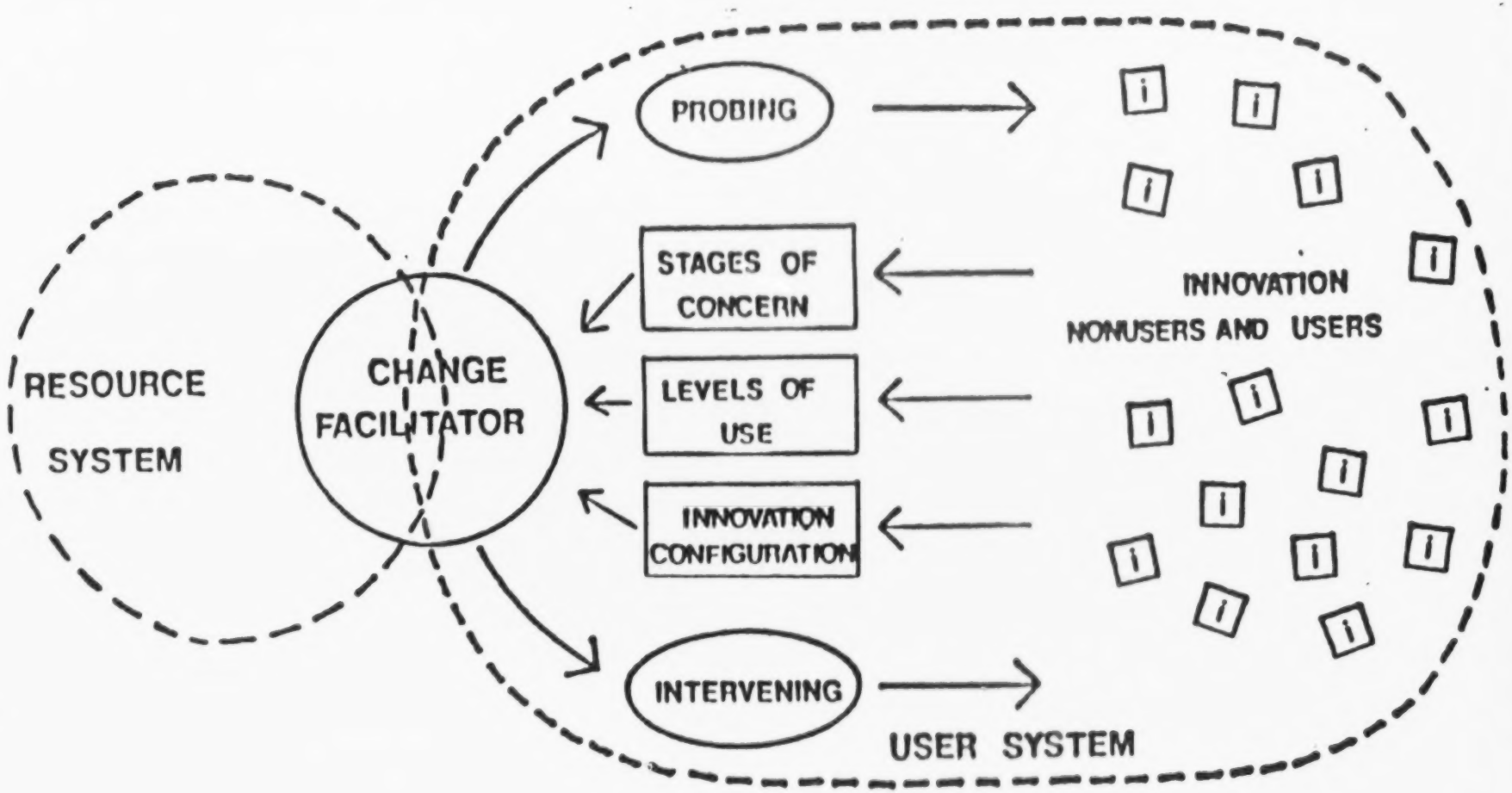
user. IC provides a framework for seeing exactly what parts of the innovation are being used and in what ways. By using these tools, change facilitators have data with which to plan appropriate interventions.

Figure 2 shows the interactive nature of the CBAM. The change facilitator has access to a resource system and to the CBAM tools for collecting diagnostic information about individuals and the innovation during the process of change. After using the diagnostic dimensions, Stages of Concern, Levels of Use, and Innovation Configuration, the change facilitator can make concerns-based interventions. As the research indicates, CFs use the CBAM to gather data and to take appropriate action. The tools can be used over and over to monitor both the individuals and the innovation. Facilitation then becomes a result of the interaction between the facilitator(s) and the target group.

The prescriptive dimension of the CBAM provides a framework for action. This move to action is based on data gathered by CBAM's diagnostic dimensions. As a result of learning how to use the practical CBAM tools, there are several applications for change facilitators. One involves the setting of goals for the use of a new program. Using the descriptive dimensions of the CBAM makes it possible to articulate clearly how individuals should change and what the innovation should look like in use. A second application involves the design of training and other interventions to help individuals implement the innovation, keeping in mind the goals that have been established, the developmental nature of concerns and the use and the resources available. As implementation progresses, the CBAM concepts and tools can be applied to monitor and evaluate the extent and quality of use of the innovation.

While knowledge about change theory and use of teams will enhance the change facilitation process, it must be kept in mind that the change process

THE CONCERNS-BASED ADOPTION MODEL



Hall, G. E., Wallace, R. C. & Dossett, W. A. A developmental conceptualization of the adoption process within educational institutions. Austin: Research and Development Center for Teacher Education, The University of Texas, 1973.

FIGURE 2

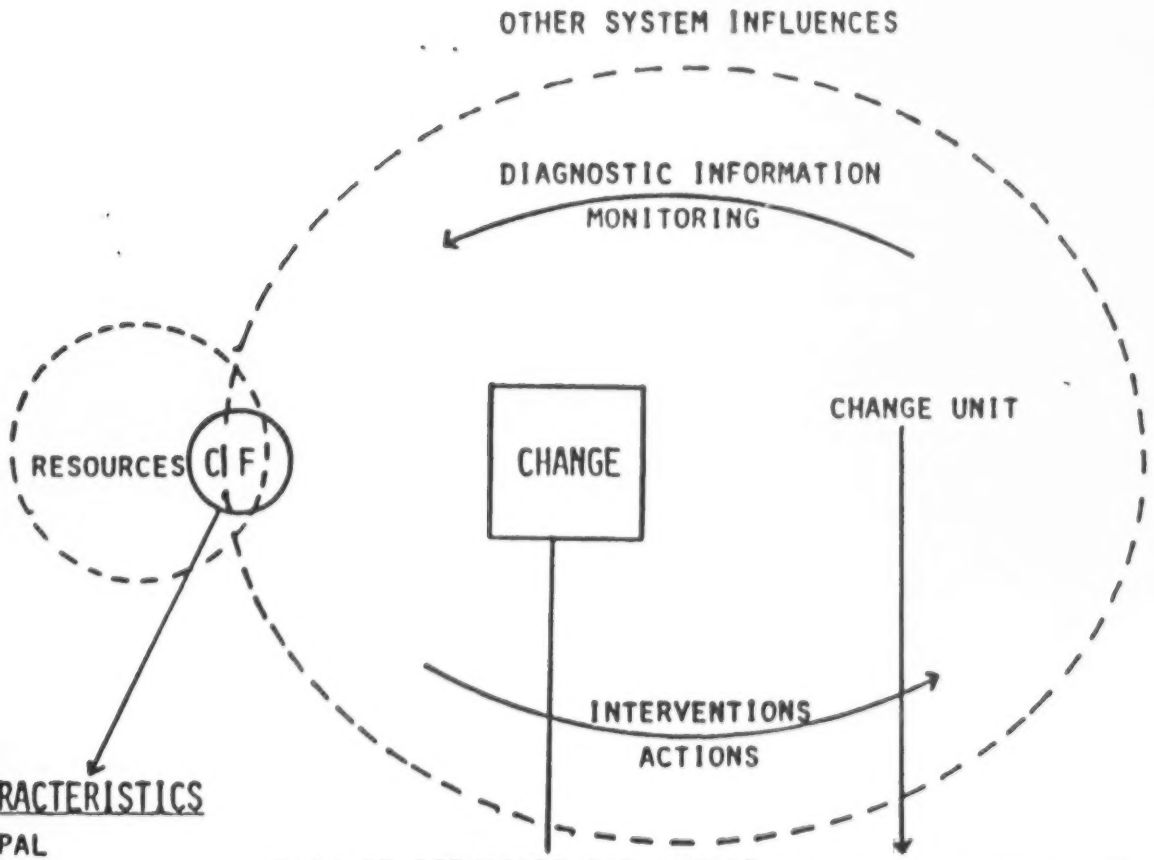
is unique to each situation. When using the diagnostic CBAM tools, change facilitators must be able to "see" the innovation within the entire context. Figure 3 shows some of the variables that can impact a system. Unique combinations of characteristics at each site will flavor the nature of interventions. For example, research shows that "the factors having the most influence . . . administration, faculty, district, and community -- were seen by researchers to have greater variance across all sites in the way and degree to which they influenced the change process" (Stiegelbauer, 1984, p. 18). Understanding of the site's particular variation will enhance the change facilitator's role. The School Ecology Survey (Hall & Griffin, 1982) and the Situational Factors Checklist (Stiegelbauer, Haddad, & Murphy, 1985) are two instruments developed during the RIP research studies which may help CFs "tune in" to their unique context.

The Process of Training

Just as individuals involved in a school level change have concerns about the innovation, change facilitators have concerns about their role. "The concerns a person has at any point in time relative to his role in facilitating school improvement will reflect the kinds of needs he has and will determine what kinds of assistance will be most helpful" (Rutherford, Hall, & Newlove, 1982, p. 55). Therefore, the process of training being recommended is partially based on the assumptions of concerns theory, discussed earlier in this paper.

Another consideration in structuring a training program for change facilitators is the research findings about adult learning theory. Like many other social science fields, adult learning research provides many specialized theories. However, Oja (1979) provides a comprehensive review and synthesis of the major literature in this field. Based on the review, and her own

FIGURE 3



CF CHARACTERISTICS

PRINCIPAL
2ND CF
CF TEAM
FLEXIBLE GROUP

CHANGE CHARACTERISTICS

SOURCE
SIZE AND COMPLEXITY
INNOVATION REQUIREMENTS
GOALS OF CHANGE
FIDELITY

UNIT CHARACTERISTICS

SIZE
ORGANIZATION
HISTORY/PERSONALITY OF GROUP
OTHER PRESSURES

history in staff development, she identifies some elements for consideration in structuring a training program for adults:

1. Recognize teachers' [and CFs] reasons for participating in various staff development activities in terms of their life age, and career cycle transitions.
2. Recognize the developmental stages of teachers [and CFs].
3. Respond flexibly and differentially to various stage perspectives.
4. Develop a working knowledge of the complexities of the unique context of each school.

These elements are similar to those already expressed in the assumptions about change. A training program for adults must give careful attention to such principles when structuring the delivery of the content.

Synthesis of five years of research by RIP and adult learning theory suggests a process for training consisting of interaction between two major elements: concepts and applications. The process recommends the presentation of CBAM concepts, a period of application, and a review, refinement, or extension of the concepts as feedback. This cycle is repeated over an extended period of time. As mentioned previously, it is important that all members of the CF team be trained together so that they may develop a common background and understanding.

Just as in teacher training, change facilitator training needs to be on-going with coaching and support along the way (Hord & Huling-Austin, in press; Joyce & Showers, 1982). Therefore, the process of training discussed here, is a developmental process, not a one-shot affair. A year-long training program, consisting of monthly or bi-monthly sessions, is optimal in that it allows participants time to reflect on and practice what they have learned. As the cycle of training continues, the CBAM concepts presented may become

more refined and situation specific, or participants may apply the general concepts in a variety of settings. Whether the concepts are applied to a broad or narrow situation, the cyclical nature of the training process, presentation, application, and feedback, remains constant.

As the cycle of training continues, applications often are utilized in an actual, on-going change process. As described by Stiegelbauer, Muscella, and Rutherford (1986), the change unit has unique characteristics, such as size and organization, which interact with the proposed change and the change facilitator. As the cycle of training continues, the CF may use applications that are most effective in a particular situation. While initial applications may be a trial and error, continued applications often involve adjustments necessitated by interactions among the change unit, the CF, and the innovation. As the CF works more intensely within the change unit, appropriate feedback may take on a very interactive format such as coaching, to deal with site-specific demands.

So, while the cycle of training remains stable, the concepts can be presented using various formats which may include workshops, individual instruction, and on-site coaching. Application of the CBAM concepts may be accomplished through paper and pencil assignments, interviews, and casual discussions. Feedback may also be completed using various methods. However, when selecting a strategy for implementation, information about the specific situation, the assumptions of concerns theory, and precepts from adult learning theory should interact. Any technique compatible with these three governing principles would be appropriate as part of a training process.

Summary

Based on five years of research in elementary and secondary schools examining the change process, this paper made recommendations about the

selection and training of educational leaders. These recommendations were grounded in the assumptions underlying the CBAM. Further, it was assumed that those engaged in training had school improvement as a primary goal for educational leaders.

Selection can be partially based on the "styles" of educational leaders. Certain styles seem to be more effective in facilitating school improvement than others. However, selection need not be limited to a single criterion. Rather, for most effective facilitation to occur, change facilitation teams should be in place. The creation and functioning of teams suggest the use of additional criteria for selection.

The very existence of a team concept should be considered during selection. Individuals determined to lead as "rugged individualists" probably would not function efficiently in a team of facilitators. Similarly, the roles to be fulfilled, first, second, and third CF, should be determined. Hall and Hord (1986) discuss the specific tasks necessary for completion by the different roles.

While style can serve as a guide in selecting educational leaders, the needs of the specific situation and the interactions among team roles must also be considered. If some of the roles are already functioning, selection for additional roles should seek to complement those already in operation for school improvement. Because people and situations are so diverse, there are no absolutes to be applied in selection. Rather, the recommendations in this paper may be a framework for use in the selection of educational leaders for school improvement.

It stands to reason that individuals who will be leading school improvement efforts should be trained in change facilitation processes. The Concerns Based Adoption Model (CBAM) offers diagnostic and prescriptive tools

that can be used in numerous situations. The CBAM is a tested and practical method which can enhance the effectiveness of trained facilitators by providing tools for data collection and a guide for action.

The process of training must include the entire CF team and extend over a sustained time period. Inclusion of all members of the CF team provides practice working together as well as reinforcement for the importance of all roles. By committing to training over a period of time, which includes applications and feedback, the CF team is "living" the process necessary for effective school improvement.

Final Thoughts

The recommendations for selection speak to both the preservice and inservice training of educational leaders. On the preservice level, persons interested in school leadership positions can be made aware of potential styles and their impact on school improvement. Also, the strengths of a change facilitation team can be explored. During inservice, emphasis may be placed on the definition of roles and the priority of functions necessary for school improvement.

The training recommendations, just as those related to selection, may apply to both the preservice and inservice levels. On the preservice level, the academic year makes modeling the process difficult. However, the cyclical process can easily be taught. Ideally, inservice training should model the cyclical training process discussed in this paper.

The content of the training, the CBAM, can be incorporated as a standard part of the preservice curriculum. General familiarity with CBAM and its underlying assumptions will allow persons entering the arena of school improvement to formulate a theoretical and practical framework for action.

Ongoing inservice training in the CBAM will provide opportunities for persons on a CF team to practice in specific situations and receive tailored feedback.

The suggestions presented in this paper are based on the assumption that those considering the ideas are committed to school improvement. That commitment will be reflected in the time and training specially allocated to topics relating to school improvement. It will also be reflected through the creation and support of change facilitation teams. As simplistic as it sounds, a basic assumption underlying the CBAM must apply to the selection and training of educational leaders for school improvement. That is, "Change is a process, not an event."

References

Fuller, F. A. (1969). Concerns of teachers: A developmental conceptualization. American Educational Research Journal, 6(2), 207-226.

Fuller, F. A. (1973). Teacher education and the psychology of behavior change: A conceptualization of the process of affective change of preservice teachers (R&D Rep. 3032). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., George, A. A., & Rutherford, W. L. (1977). Measuring stages of concern about innovation: A manual for use of the SoC questionnaire (R&D Rep. 3032). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., & Griffin, T. H. (1982). Analysis of context/climate in school settings--Which is which? (R&D Rep. 3139). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., & Guzman, F. (1984). Sources of leadership for change in high schools (R&D Rep. 3185). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., & Hord, S. M. (1984a). A framework for analyzing what change facilitators do: The intervention taxonomy (R&D Rep. 3161). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., & Hord, S. M. (1984b). Change facilitator style. In J. W. Keefe & J. M. Jenkins (Eds.), Instructional Leadership Handbook. Reston, VA: National Association of Secondary School Principals.

Hall, G. E., & Hord, S. M. (1986). Configurations of school-based leadership teams. Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., Hord, S. M., Guzman, F., Huling-Austin, L. L., Rutherford, W. L., & Stiegelbauer, S. M. (1984). The improvement process in high schools: Form, function, and a few surprises (R&D Rep. 3188). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., Hord, S. M., Huling, L. L., Rutherford, W. L., & Stiegelbauer, S. M. (1983). Leadership variables associated with successful school improvement (R&D Rep. 3164). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., & Loucks, S. F. (1978). Innovation configurations: Analyzing the adaptations of innovation (R&D Rep. 3049). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., Loucks, S. F., Rutherford, W. L., & Newlove, B. W. (1975). Levels of use of the innovation: A framework for analyzing innovation adoption. The Journal of Teacher Education, 29(1), 52-56.

Hall, G. E., Hord, S. M., & Putman, S. (1985). The role of district office personnel in high school change (R&D Rep. 3204). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., & Rutherford, W. L. (1983). Three change facilitator styles: How principals affect improvement efforts (R&D Rep. 3155). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., Rutherford, W. L., & Griffin, T. H. (1982). Three change facilitator styles: Some indicators and a proposed framework (R&D Rep. 3134). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., Rutherford, W. L., Hord, S. M., & Huling, L. L. (1984). Effects of three principal styles on school improvement. Educational Leadership, 41(5), 22-29.

Hall, G. E., Rutherford, W. L., Newlove, B. W., Hord, S. M., Goldstein, M. L., Huling, L. L., & Griffin, T. H. (1982). Principals as change facilitators: Their interventions. Symposium presented at the annual meeting of the American Educational Research Association, New York.

Hall, G. E., Wallace, Jr., R. C., & Dossett, W. A. (1973). A developmental conceptualization of the adoption process within educational institutions (R&D Rep. 3006). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hall, G. E., Zigarmi, P., & Hord, S. M. (1979). A taxonomy of intervention: The prototype and initial texting. Paper presented at the annual meeting of the American Educational Research Association, San Francisco, CA.

Heck, S., Stiegelbauer, S. M., Hall, G. E., & Loucks, S. F. (1981). Measuring innovation configurations: Procedures and application (R&D Rep. 3108). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hord, S. M., & Goldstein, M. (1982). What does the principal do to facilitate change: Their interventions (R&D Rep. 3132). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hord, S. M., Hall, G. E., & Stiegelbauer, S. M. (1983). Principals don't do it alone: The role of the consigliere (R&D Rep. 3158). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hord, S. M., & Huling-Austin, L. L. (in press). Effective curriculum implementation: Some promising new insights. Elementary School Journal.

Hord, S. M., Huling, L. L., & Stiegelbauer, S. M. (1983). Analysis of interventions in school improvement efforts. Paper presented at the annual meeting of the American Educational Research Association, New York.

Hord, S. M., & Murphy, S. C. (1985). The high school department head: Powerful or powerless in guiding change (R&D Rep. 3210). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Hord, S. M., Stiegelbauer, S. M., & Hall, G. E. (1984a). How principals work with other change facilitators. Education and Urban Society, 17(1), 89-109

Hord, S. M., Stiegelbauer, S. M., & Hall, G. E. (1984b). Principals don't do it alone: Researchers discover second change facilitator active in school improvement efforts. R&DCTE Review, 2(3), 1-2,5.

Huling, L. L., Hall, G. E., & Hord, S. M. (1982). Effects of principal interventions on teachers during the change process (R&D Rep. 3133). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Huling, L. L., Hall, G. E., Hord, S. M., & Rutherford, W. L. (1983). A multidimensional approach for assessing implementation success (R&D Rep. 3157). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Huling-Austin, L. L. (1984). Collecting data in high schools: Methods and madness (R&D Rep. 3183). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Huling-Austin, L. L., Stiegelbauer, S. M., & Muscella, D. (1985). High school principals: Their role in guiding change (R&D Rep. 3205). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Joyce, B., & Showers, B. (1982). The coaching of teaching. Educational Leadership, 40(1), 4-11.

Loucks, S. F., Newlove, B. W., & Hall, G. E. (1976). Measuring levels of use of the innovation: A manual for trainers, interviews, and raters (R&D Rep. 3013). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Newlove, B. W., & Hall, G. E. (1976). A manual for assessing open-ended statements of concern about an innovation (R&D Rep. 3029). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Oja, S. N. (1979). A cognitive structural approach to ego, moral, and conceptual development through in-service teacher education. Paper presented at the annual meeting of the American Educational Research Association, San Francisco, CA.

Parker, E. W., & Griffin, T. H. (1979). A quick scoring device for the stages of concern questionnaire (R&D Rep. 3079). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Rutherford, W. L. (1981). The intervention and plans principals make when facilitating change (R&D Rep. 3129). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Rutherford, W. L. (1984). Styles and behaviors of elementary school principals and their relationship to school improvement. Education and Urban Society, 17(1), 9-28.

Rutherford, W. L., Hall, G. E., & Huling, L. L. (1984). Implementing instructional change: The concerns-based perspective. In F. W. Parkay (Ed.), Teacher inquiry: A strategy for improving secondary basic skills instruction. San Marcos: Southwest Texas State University.

Rutherford, W. L., Hall, G. E., & Newlove, B. W. (1982). Describing the concerns principals have about facilitating change. Paper presented at the annual meeting of the American Educational Research Association, New York.

Rutherford, W. L., Hord, S. M., & Huling, L. L. (1983). An analysis of terminology used for describing leadership (R&D Rep. 3154). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Rutherford, W. L., Hord, S. M., Huling-Austin, L. L., Stiegelbauer, S. M., Murphy, S.C., Putman, S., Hall, G. E., & Muscella, D. (1985). Changing the American high school: Descriptions and prescriptions (R&D Rep. 3216). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Rutherford, W. L., & Huling-Austin, L. L. (1984). Changes in high school: What is happening -- what is wanted? (R&D Rep. 3184). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Rutherford, W. L, & Murphy, S. C. (1985). Change in high schools: Roles and reactions of teachers (R&D Rep. 3211). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Stiegelbauer, S. M. (1984). Community, context, and co-curriculum: Situational factors influencing school improvement in a study of high schools (R&D Rep. 3186). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Stiegelbauer, S. M., Goldstein, M., & Huling, L. L. (1982). Through the eye of the beholder: On the use of qualitative methods in data analysis (R&D Rep. 3137). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Stiegelbauer, S. M., Haddad, M., & Murphy, S. C. (1985). Adding it all up: A checklist approach to determining the influences of situational variables (R&D Rep. 3209). Austin: Research and Development Center for Teacher Education, The University of Texas at Austin.

Stiegelbauer, S. M., Muscella, D., & Rutherford, W. L. (1986). The facilitation similarities, differences, and interactions about the process. Paper presented at the annual meeting of the American Educational Research Association, San Francisco, CA.

Appendix A

The Concerns-Based Adoption Model

Diagnostic Components of the CBAM

The three diagnostic components of the model are the Stages of Concern (SoC), Levels of Use (LoU), and Innovation Configuration (IC). They can be used separately or together, depending on the type of data needed to assess a situation.

Stages of Concern About the Innovation (Hall, George, & Rutherford, 1977) is based on the developmental work of Francis Fuller (1969). This dimension describes seven categories of concerns individuals experience with varying intensities as they undergo the change process. These range from early concerns about "self," to concerns about "task," and finally to concerns about "impact." Reliable and valid procedures have been developed for measuring the seven Stages of Concern. For example, the Stages of Concern Questionnaire (SoCQ) consists of 35 items which the respondents rate on a Likert scale. Five items represent each of the seven Stages of Concern. Estimates of internal reliability range from .65 to .86. Perhaps the most useful interpretations of this data are derived from analysis of the profiles that are made from displaying the percentile values, converted from raw scores, for each scale on a grid. A complete explanation of various analyses techniques is available through a variety of publications (Newlove & Hall, 1976; Hall, George, & Rutherford, 1977; Parker & Griffin, 1979).

Levels of Use (Hall, Loucks, Rutherford, & Newlove, 1975) describes how performance changes as the teacher becomes more familiar with an innovation and more skillful at using it. Eight distinct Levels of Use (LoU) have been identified. Individuals first "orient" themselves to the innovation.

Usually, first signs of use are found at the "Mechanical" level where planning is short-term and organization and coordination of the innovation are disjointed. As experience increases, innovation users move to the "Routine" level and eventually may reach various levels where changes in the innovation begin to occur. A casual interview procedure may be used to informally assess LoU. A more systematic procedure may be conducted by trained and certified LoU interviewers (Loucks, Newlove, & Hall, 1976).

Innovation Configuration (Hall & Loucks, 1978) describes the various forms of an innovation that result when users "adapt" it for their particular situations. With this concept, the major operational components of an innovation are identified along with possible variations of each component. These descriptions are summarized on an Innovation Configuration (IC) Checklist (Heck, Stiegelbauer, Hall, & Loucks, 1981) which is used to identify the particular configuration currently in use.

Prescriptive Dimension of the CBAM

Intervention Taxonomy (Hall & Hord, 1984b; Hall, Zigarmi, & Hord, 1979) provides a structure for the change facilitator to plan a change effort. It is characterized by five planned or sponsored levels: Policy, Game Plan, Strategy, Tactic, and Incident. The levels are distinguished generally by their size, magnitude or scope, and the extent of their impact. Another level which results from unplanned effects and actions are known as "mushrooms."

Planning of change efforts is crucial to their success. "The plan, departure from it, and the restructuring of the plan are the rubric which direct the actions of the change facilitator during the implementation process" (Stiegelbauer, Muscella, & Rutherford, 1986, p. 26). According to PTI data (Hall et al., 1983) the likelihood of successful implementation is increased when four particular Game Plan Components (GPCs) are in operation.

These GPCs are: developing supportive organizational arrangements, training, providing consultation and reinforcement, and monitoring and evaluating. The nature of the components and examples from the research base are discussed in detail by Stiegelbauer, Muscella, and Rutherford (1986).